



## REPORTING REQUIREMENTS FOR INDEPENDENT EXPENDITURES:

### PRIMARY ELECTION—JUNE 10, 2014

*These instructions are intended to provide information about how to report independent expenditures. The statute and rules governing independent expenditures are 21-A M.R.S.A. § 1019-B and Commission Rules, Chapter 1, Section 10 (94-270 CMR Chapter 1, Section 10).*

#### WHEN DO INDEPENDENT EXPENDITURES HAVE TO BE REPORTED?

It is important to note that it is the total or aggregate amount spent per candidate for the election that matters in determining whether an independent expenditure has to be reported, not simply the amount of a single expenditure. When an independent expenditure report has to be filed depends on the amount and the timing of the expenditure. The table below shows the reporting periods and the applicable thresholds and deadlines for reporting expenditures.

Reporting Period	Threshold for Reporting Expenditure	Report and Due Date
Anytime on or before April 10	Expenditures over aggregating over \$250 per candidate	60-Day Pre-Election Report due April 11
From April 11—May 27	Expenditures aggregating over \$100 per candidate but not over \$250	11-Day Pre-Election Report due May 30
From April 11—June 10 (60 days before the election)	Expenditures aggregating over \$250 per candidate	Within 2 calendar days of making the expenditure
From May 28 through June 10 (13 days before the election)	Expenditures aggregating over \$100 per candidate	Within 1 calendar day of making the expenditure

## DOES THE PRESUMPTION EVER APPLY TO EXPENDITURES THAT ARE MADE BEFORE THE PRESUMPTION PERIOD BEGINS?

Yes. If the expenditure to design, produce or disseminate the communication is made before the presumption period and the communication itself is disseminated or is intended to be disseminated within the presumption period, the expenditure is presumed to be an independent expenditure and must be reported.

## IMPORTANT INFORMATION ABOUT EXPENDITURES

The legal definition of expenditure includes not just the making of a payment but also “[a] contract, promise or agreement, expressed or implied, whether or not legally enforceable, to make any expenditure.” (21-A M.R.S.A. §§ 1012(3)(A)(3) & 1052(4)(A)(3)) The Commission views this as requiring the reporting of an unpaid obligation as an independent expenditure.

### What is an expenditure?

- any obligation to pay for a good or service
- the placement of an order for goods and services
- a promise or agreement (even an implied one) that payment will be made
- the signing of a contract for a good or service
- the delivery of a good or service even if payment has not been made
- the payment for a good or service

### When is an expenditure made?

The earliest of the following events:

- the placement of an order for a good or service
- a promise or an agreement to pay
- the signing of a contract for a good or service
- the delivery of a good or service
- the making of a payment for a good or service

## HOW DO I REPORT INDEPENDENT EXPENDITURES?

If you or your organization makes an independent expenditure, you must file the attached report with the Commission. The independent expenditure report form is also available on the Commission's website at [www.maine.gov/ethics](http://www.maine.gov/ethics) under “Forms and Guides.” The filer must report the date, amount, payee, and purpose of the expenditure, and must allocate the cost among the different candidates affected by the expenditure, indicating whether the expenditure was made in support of or in opposition to each candidate. The Election Law requires the report to contain a notarized statement disclosing whether the expenditure was made in cooperation or consultation with a candidate, so please locate a notary public in advance of the filing deadline.

## HOW DO I FILE AN INDEPENDENT EXPENDITURE REPORT?

Independent expenditure reports can be filed in person at the Commission's office during regular business hours (Monday through Friday from 8:00 a.m. to 5:00 p.m.). Filers may also submit the reports anytime by fax to (207) 287-6775, provided that the original report is received by the Commission within five calendar days. If the deadline for an independent expenditure report falls on a weekend or holiday, the report must be filed on that day, usually by fax. On the Saturday and Sunday before an election, the Commission office is open and staffed from 8:00 a.m. to 5:30 p.m. and reports can be filed in person on those days. Otherwise, the report must be faxed to the Commission at (207) 287-6775. Independent expenditure reports cannot be filed electronically on the Commission's website because they must be notarized.

## WHAT IF THE COST OF A COMMUNICATION IS LESS THAN \$100 PER CANDIDATE?

If the person making the communication did not spend or obligate more than \$100 per candidate to design, produce, or disseminate the communication, no independent expenditure report is necessary. However, once the aggregated costs for any candidate exceed \$100, a report must be filed for independent expenditures regarding that candidate.

Please note that if an organization uses materials produced by another entity (e.g., a legislative scorecard), the cost of producing that material must be included in the total amount for that communication.

***If you have any questions about whether an expenditure for a communication has to be reported as an independent expenditure, please contact the Commission staff at (207) 287-4179 .***

**INDEPENDENT EXPENDITURE REPORT – 2014 PRIMARY ELECTION**

Name of Person/Committee Making Expenditure(s) \_\_\_\_\_

Mailing Address \_\_\_\_\_

City, Zip Code \_\_\_\_\_ Telephone \_\_\_\_\_

*Please check the appropriate box for the report you are filing and complete the notarized affidavit and attached schedules. Reports must be filed on Saturday or Sunday if that is when they are due by faxing the report to the Commission (287-6775). The Commission must receive the signed original report within 5 days after the fax was received.*

☐ Check here if this report is an amendment to a previously filed report? Date of original report: \_\_\_\_\_**INDEPENDENT EXPENDITURES AGGREGATING OVER \$250 MADE FROM APRIL 11 THROUGH JUNE 10, 2014**

- Independent expenditures made from April 11 through June 10, 2014 that total more than \$250 per candidate must be reported within 2 calendar days of making the expenditure.

☐ **Report of Independent Expenditure over \$250 per Candidate****INDEPENDENT EXPENDITURES OVER \$100 MADE AFTER MAY 28, 2014**

- Independent expenditures made after May 28, 2014 that total more than \$100 per candidate must be reported within one calendar day of making the expenditure.

☐ **Report of Independent Expenditure over \$100 per Candidate****OTHER INDEPENDENT EXPENDITURES****Report (select one)**☐ **11-Day Pre-Election Report****Due Date**

May 30, 2014 by 5:00 p.m.

**What Gets Reported**

Expenditures in the aggregate totaling more than \$100 but not more than \$250 made from April 11 through May 27, 2014

**I CERTIFY THAT THE INFORMATION IN THIS REPORT IS TRUE, CORRECT AND COMPLETE.**

\_\_\_\_\_  
Signature of PAC or Party Treasurer, or  
Other Authorized Person Making Expenditure(s)

\_\_\_\_\_  
Date



## INDEPENDENT EXPENDITURE REPORT – PRIMARY ELECTION

### AFFIDAVIT

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_

I, \_\_\_\_\_, being duly sworn, attest that I made each of the expenditures listed in the attached report independently, and not in cooperation, consultation, or concert with, or at the request or suggestion of, any candidate, authorized committee or agent of a candidate in a race affected by any expenditure listed in this report.

\_\_\_\_\_  
Signature of Affiant

Sworn to before me, this \_\_\_\_\_ day of \_\_\_\_\_ 2014

\_\_\_\_\_  
(Notary Public/Attorney at Law)

My commission expires: \_\_\_\_\_

## Schedule B-IE-1

## CANDIDATE(S) SUPPORTED/OPPOSED

- Please list all candidates that were the subjects of independent expenditures.
- If more than one candidate was the subject of the expenditure, allocate the expenditure among the candidates.

Office sought by candidate (including district # or county)	Candidate's name	Indicate whether expenditure was made in support of or in opposition to the candidate	Amount expended this reporting period for each candidate
<b>Total expenditures for all candidates this reporting period.</b> <i>This amount should equal the total independent expenditures listed on Schedule B-IE-2, Line C. ⇒</i>			

## Schedule B-IE-2

## PAYMENTS AND OBLIGATIONS

- Please indicate the date, payee, expenditure type, and amount of each expenditure.
- If you are reporting an agreement or obligation to make a future payment, please check (✓) the box next to the expenditure type.

Expenditure Types				
LIT	Printing and graphics (flyers, signs, palmcards, etc.)	PRT	Print media ads only (newspapers, magazines)	
MHS	Mail house (all services purchased)	RAD	Radio ads, production costs	
PHO	Phone banks, automated telephone calls	TVN	TV or cable ads, production costs	
POL	Polling and research survey	WEB	Website design, registration, hosting, maintenance, etc.	
POS	Postage for U.S. Mail and mail box fees	OTH	Other (include description)	

  

Date of expenditure	Payee, address, zip code	Expenditure type	✓	Amount
A. Expenditures for this page ⇒				
B. Total for all other Schedule B-IE-2 pages (if any) ⇒				
C. Total independent expenditures for this reporting period (A+B). <i>This amount should equal the total amount for all candidates listed on Schedule B-IE-1.</i> ⇒				